



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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WASHINGTON, DC 20350-1000

SECNAVINST 3030.4A
N3/N5
July 27, 2004

SECNAV INSTRUCTION 3030.4A

To: Chief of Naval Operations
Commandant of the Marine Corps

Subj: DEPARTMENT OF THE NAVY CONTINUITY OF OPERATIONS
(DON COOP) PROGRAM

Ref: (a) Executive Order 12656 (NOTAL)
(b) Presidential Decision Directive (PDD) 67 (NOTAL)
(c) Federal Preparedness Circular 65 of 15 Jun 04 (NOTAL)
(d) DOD S-3020.26-P of 30 Jan 04 (NOTAL)
(e) CJCS OPORD 3-03, 11 Sep 03 (NOTAL)
(f) Title 10, U.S.C., Armed Forces as amended
(g) DODD 3020.26 of 26 May 95
(h) Security Classification Guide, Department of Defense
Continuity of Operations (NOTAL)
(i) SECNAVINST 5214.2B

1. **Purpose.** To delineate Department of the Navy (DON) policy and responsibilities for implementing Continuity of Operations (COOP) and guidance contained in references (a) through (h).

2. **Cancellation.** SECNAVINST S3030.4. This instruction is a complete revision and should be read in its entirety.

3. **Applicability.** This directive applies to the Offices of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), and the Commandant of the Marine Corps (CMC).

4. **Discussion.** The DON COOP program provides the means to continue DON mission essential functions (MEFs) during national security emergencies and events requiring all or part of the DON to be relocated or reconstituted. DON conducts COOP activities and executes DON MEFs in support of the Secretary of Defense (SECDEF), the Chairman of the Joint Chiefs of Staff (CJCS), the SECNAV, the CNO, and the CMC.

a. DON Primary MEFs. COOP provides for the continuity of DON primary functions during conditions when normal operations have been impaired or made impossible. The primary DON MEFs are:

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- (1) Support the SECNAV.
- (2) Support the CNO and CMC.
- (3) Respond to tasking and provide information necessary to facilitate Navy operations worldwide.
- (4) Support requirements established in references (d) and (e).
- (5) Execute DON's responsibilities under reference (f).

b. COOP is the capability of a DoD Component to continue MEFs without unacceptable interruption during a national security emergency. National security emergencies consist of any occurrence, including, but not limited to, natural disaster, terrorist attack, military attack, technological failures, civil unrest, or other disruptive conditions that seriously degrades or threatens the national security of the United States. COOP planning includes preparatory measures, response actions, and restoration activities planned or taken to ensure continuation of these functions to maintain military effectiveness, readiness, and survivability. COOP planning is "good business practice" - a part of the fundamental mission of Navy and Marine Corps organizations.

5. Background. In prior years the content and structure of COOP plans, operational standards, and interagency coordination were left to the organization's discretion. The changing threat environment, recent emergencies, and increased potential for terrorist use of weapons of mass destruction highlights the need for cohesive and coherent COOP capabilities that enable DON organizations to continue their MEFs across a broad spectrum of emergencies.

6. Policy. Effective direction of Navy and Marine Corps forces during crisis requires MEFs continue with minimum degradation or interruption. COOP programs, as a minimum, will address the following:

- a. Program guidance, management, and implementation.
- b. Plans and planning process.
- c. COOP training and exercises.
- d. Communications, information assurance, information management, and necessary infrastructure logistics support.

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- e. Funding and acquisition.
- f. Personnel.
- g. Security.

7. Action. To provide continuity of DON MEFs during national security emergencies, the following responsibilities and actions for COOP programs and plans shall be implemented.

- a. SECNAV, CNO, and CMC shall:

- (1) Establish a COOP program that addresses:

- (a) Program guidance, management, and implementation.

- 1. Identify and prioritize MEFs and, likewise, determine those functions that can be deferred until time and resources permit restoration.

- 2. Address COOP actions in three basic phases: pre-event phase, trans-event phase, and post-event phase.

- a. Pre-Event Phase. Only preparation for military operations will take priority over actions to decide, coordinate, alert, and implement readiness measures, to protect personnel and critical resources, through dispersal or relocation, for reasons of survival.

- b. Trans-Event Phase. Giving priority to military operations, succession of key leadership and relocation of emergency relocation staff (ERS) personnel are primary concerns during this phase. Actions include ERS deployment, site activation, reception, devolution of Command and Control, execution of MEFs and, if necessary, staff reconstitution.

- c. Post-Event Phase. Focus on military operations, communications, transportation, and resource recovery. During this phase actions include: sustaining functions that allow the ERS to conduct their MEFs, managing personnel transportation and augmentation, and coordinating site activities. Planning begins for return (recovery) of staff, and their functions, to a permanent location.

- 3. Ensures subordinate units' COOP plans support the Immediate Superior in Charge (ISIC) or parent command's COOP requirements.

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4. Recognize, endeavor to assist, and take advantage of parallel COOP processes that occur in civil government.

5. Ensure that units assigned to support a Unified Combatant Command properly support that Command's COOP plans.

(b) COOP plans and planning that:

1. Anticipate destructive natural events, national security emergencies, or hostile acts that may interrupt operations at DON organizations, activities, or commands. Plans must be executable during duty and non-duty hours with little or no warning.

2. Designate emergency headquarters relocation and reconstitution sites per reference (c).

3. Review plans annually and update more frequently, if required.

(c) COOP training and exercise programs that:

1. Maintain COOP readiness of all individuals assigned emergency relocation staff positions per reference (c) with a developed training and exercises program.

2. Publish an after-action report following each exercise with issues entered into the Service's lessons learned database for resolution utilizing the Service's lessons learned process and procedures.

(d) Communications, information assurance, information management, and necessary infrastructure logistics support.

(e) Funding and acquisition including documenting and reporting all expenditures to acquire, operate, and maintain COOP-related capabilities and facilities to the appropriate higher-level COOP Office of Primary Responsibility (OPR).

(f) Personnel considerations in identifying an ERS to accomplish identified MEFs.

(g) Security classification guidance of plans and other documents pertaining to continuity of operations in accordance with reference (h).

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(2) Designate an organization as the OPR for COOP and appoint a Continuity Planning Officer to serve as the point of contact for all COOP planning issues between the units and their commands.

(3) Publish COOP guidance to ensure all levels of command effectively implement the COOP program and, if needed, develop their own instruction to supplement this instruction.

(4) Establish methods to track the availability and/or readiness of all resources designated for use during all phases of COOP operations.

b. The Chief of Naval Operations (CNO) and the Commandant of the Marine Corps (CMC) shall:

(1) Establish guidance for Navy and Marine Corps organizations to use in developing viable, executable COOP plans, to facilitate interagency coordination as appropriate, and to oversee and assess the status of COOP readiness across the DON. At a minimum, COOP plans will provide for robust recoverable communications among SECNAV, CNO, CMC, and their successors.

(2) Publish guidance to all Navy and Marine Corps units for reporting annual COOP-related expenditures for compilation to support the annual DoD COOP budget review and Office of Management and Budget data requests.

(3) Coordinate with the SECNAV staff to ensure the DON Headquarters (HQ) COOP program is funded and sustained and the alternate sites are fully functional and meet all defined requirements.

(4) Coordinate with SECNAV staff on all information technology and program funding decisions, which would affect the policy and execution of the DON HQ COOP program.

(5) Assist the Office of the Secretary of the Navy and the Assistant Secretaries of the Navy in developing Secretariat Headquarters COOP plans.

c. Offices of the Secretary of the Navy (to include the Offices of the Assistant Secretary's of the Navy) shall:

(1) Develop, coordinate, and maintain procedures and checklists to carry out mission essential functions and to support the DON HQ COOP program.

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(2) Develop and maintain organization-specific COOP plan.

(3) Establish and maintain procedures to rapidly notify personnel (during duty and non-duty hours) in support of COOP plan execution.

(4) Designate an emergency headquarters relocation and reconstitution site per reference (c).

(5) Develop and maintain reconstitution and recovery procedures for their respective staffs.

8. Changes. Submit change requests for this instruction to Chief of Naval Operations (CNO), Deputy Chief of Naval Operations for Plans, Policy & Operations (N3/N5), 2000 Navy Pentagon, Washington, DC 20350-2000 (ATTN: COOP COORDINATOR (N31)).

9. Report. The reporting requirement contained in paragraphs 7a(1)(e) and 7b(2) is exempt from reports per reference (i).

Gordon R. England
Secretary of the Navy

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